

FORM PTO-1390
(REV 10-94)

DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

529 Rec'd PCT/PTO 12 JUL 2000

ATTORNEY'S DOCKET NUMBER

13409.1USWO

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.53)
UNKNOWN 097600203

PRIORITY DATE CLAIMED
November 25, 1998

INTERNATIONAL APPLICATION NO.
PCT/JP99/06488

INTERNATIONAL FILING DATE
November 19, 1999

TITLE OF INVENTION
FILTER CARTRIDGE

APPLICANT(S) FOR DO/EO/US
C. GATA et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An unsigned oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98, Form 1449, 6 References.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment.
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information: Courtesy Copy of International Application PCT/JP99/06488; Preliminary Amendment; 9 Sheets of Formal Drawings; Form PCT/ISA/210; Form PCT/IB/304; Form PCT/IB/308

U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.5)

Unknown 09/60020

INTERNATIONAL APPLICATION NO.

PCT/JP99/06488

ATTORNEY'S DOCKET NUMBER

9.1USWO

CALCULATIONS PTO USE ONLY

17. [X] The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492(a) (1)-(5)): \$840.00
 Search Report has been prepared by the EPO or JPO.....

International preliminary examination fee paid to U.S. Patent and Trademark Office (37 CFR 1.492(a)(1)).....\$670.00

No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)).....\$760.00

Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(3)) paid to USPTO.....\$970.00

International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4).....\$96.00

ENTER APPROPRIATE BASIC FEE AMOUNT = \$ 840.00

Surcharge of \$130.00 for furnishing the oath or declaration later than [] 20 [] 30 months from the earliest claimed priority date (37 CFR 1.492(e)).

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total claims	11	-20 = 0	X \$18.00	\$
Independent claims	3	-3 = 0	X \$78.00	\$
			+ \$260.00	\$

MULTIPLE DEPENDENT CLAIM(S) (if applicable)

TOTAL OF ABOVE CALCULATIONS = \$840.00

Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28).

SUBTOTAL = \$840.00

Processing fee of \$130.00 for furnishing the English translation later than [] 20 [] 30 months from the earliest claimed priority date (37 CFR 1.492(f)).

TOTAL NATIONAL FEE = \$840.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property

TOTAL FEES ENCLOSED = \$840.00

Amount to be:
 refunded \$
 charged \$

a. [X] Check(s) in the amount of \$840.00 to cover the above fees is enclosed.

b. [] Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.

c. [X] The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 13-2725.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Curtis B. Hamre
 MERCHANT & GOULD
 P.O. Box 2903
 Minneapolis, MN 55402-0903

SIGNATURE:

Curtis B. Hamre

NAME

REGISTRATION NUMBER

29,165

Applicant: OGATA et al.
Docket: 13409.IUSWO
Title: FILTER CARTRIDGE

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CERTIFICATE UNDER 37 CFR 1.10

'Express Mail' mailing label number: EL415945643US

Date of Deposit: July 12, 2000

I hereby certify that this paper or fee is being deposited with the United States Postal Service 'Express Mail Post Office To Addressee' service under 37 CFR 1.10 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

By: *Linda McCormick*
Name: Linda McCormick

BOX PATENT APPLICATION
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

We are transmitting herewith the attached:

- ☒ Transmittal sheet, in duplicate, containing Certificate under 37 CFR 1.10.
- ☒ National Stage PCT Patent Application: Spec. 52 pgs; 11 claims; Abstract 1 pgs.
The fee has been calculated as shown below in the 'Claims as Filed' table.
- ☒ 9 sheets of formal drawings
- ☒ An unsigned Combined Declaration and Power of Attorney
- ☒ A check in the amount of \$840.00 to cover the Filing Fee
- ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98, Form 1449, 6 References.
- ☒ Other: Courtesy Copy of International Application PCT/JP99/06488; Preliminary Amendment; Form PTO-1390; Form PCT/ISA/210; Form PCT/IB/304; Form PCT/IB/308
- ☒ Return postcard

CLAIMS AS FILED

Number of Claims Filed	In Excess of:	Number Extra	Rate	Fee
Basic Filing Fee				\$840.00
Total Claims				
11	20	0	x 0.00	\$0.00
Independent Claims				
3	3	0	x 0.00	\$0.00
MULTIPLE DEPENDENT CLAIM FEE				\$840.00
TOTAL FILING FEE				\$840.00

Please charge any additional fees or credit overpayment to Deposit Account No. 13-2725. A duplicate of this sheet is enclosed.

MERCHANT & GOULD P.C.
P.O. Box 2903, Minneapolis, MN 55402-0903
(612) 332-5300

By:

Curtis B. Hamre
Name: Curtis B. Hamre
Reg. No.: 29,165
Initials: CBH/kas

